

Serial No. 09/921,610
Amendment dated October 19, 2004
Reply to Office Action of May 25, 2004

Docket No. 4159-4003US1

IN THE CLAIMS:

Please amend claims 100, 103, 104, 118, 119, 124, and 129 as follows:

1-99 (Cancelled)

100 (Currently Amended) A method for facilitating the bartering of publicly traded securities on a computerized system, comprising:

receiving on the computerized system a first barter order from a user including:

a first security including a quantity thereof to be sold in a barter,

a second security different from the first security to be purchased in said barter concurrent with the sale of the first security, and

a condition relating to the value of said barter under which condition said barter may be executed;

comparing on the computerized system said first barter order to a list including multiple barter orders, each of said barter orders including:

a first security including a quantity thereof to be sold in a barter,

a second security different from the first security to be purchased in said barter concurrent with the sale of the first security, and

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a condition relating to the value of said barter under which
condition said barter may be executed;

determining from said list a plurality of selected barter orders
which, if executed, will consummate said first barter order and one or more of said list of
plurality of selected barter orders;

transmitting to said user, based on said determining, an indication
that said first barter order may be executed; and
receiving from said user a request to execute said barter order.

101 (Previously Presented) The method of claim 100 wherein said
receiving further comprises receiving a time within which said barter may occur.

102 (Previously Presented) The method of claim 100 wherein each of
said barter orders further includes a time within which said barter order may occur.

103 (Currently Amended) A computerized system for facilitating the
bartering of publicly traded securities, comprising:

a memory; and

a processor disposed in communication with said memory, said
processor configured to

receive a first barter order from a user including:

a first security including a quantity thereof to be sold in a
barter,

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a second security different from said first security to be
purchased in said barter concurrent with the sale of said first security, and

a condition relating to the value of said barter under which
condition said barter may be executed;

compare said first barter order to a list including multiple barter
orders, each of said barter orders including:

a first security including a quantity thereof to be sold in a
barter,

a second security different from said first security to be
purchased in said barter concurrent with the sale of said first security, and

a condition relating to the value of said barter under which
condition said barter may be executed;

determine from said list a plurality of selected barter orders which,
if executed, will consummate said first barter order and one or more of said list of
plurality of selected barter orders;

transmit to said user, based on said determining, an indication that
said first barter order may be executed; and

receive from said user a request to execute said barter order.

104 (Currently Amended) A computerized system for facilitating the
bartering of publicly traded securities, comprising:

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means for receiving a first barter order from a user including:

a first security including a quantity thereof to be sold in a
barter,

a second security different from said first security to be
purchased in said barter concurrent with the sale of said first security, and

a condition relating to the value of said barter under which
condition said barter may be executed;

means for comparing said first barter order to a list including
multiple barter orders, each of said barter orders including:

a first security including a quantity thereof to be sold in a
barter,

a second security different from said first security to be
purchased in said barter concurrent with the sale of said first security, and

a condition relating to the value of said barter under which
condition said barter may be executed;

means for determining from said list a plurality of selected barter
orders which, if executed, will consummate said first barter order and one or more of said
list of plurality of selected barter orders;

means for transmitting to said user, based on said determining, an
indication that said first barter order may be executed; and

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means for receiving from said user a request to execute said barter order.

105 (Cancelled)

106 (Cancelled)

107 (Previously Presented) The method of claim 100 further comprising executing a selected barter order by using a matching engine to link multiple barter orders.

108 (Previously Presented) The system of claim 103 wherein said processor is further configured to execute a selected barter order by using a matching engine to link multiple barter orders.

109 (Cancelled)

110 (Cancelled)

111 (Previously Presented) The method of claim 100 wherein said first barter order further includes a quantity of said second security.

112 (Previously Presented) The system of claims 103 or 104 wherein said first barter order further includes a quantity of said second security and a time within which said barter may occur.

113 (Previously Presented) The method of claim 100 further comprising transmitting to multiple parties an indication that said first barter order may be executed.

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114 (Previously Presented) The system of claim 103 further comprising means for transmitting to multiple parties an indication that said first barter order may be executed.

115 (Previously Presented) The method of claim 100 further comprising displaying an available quantity of a security to be bartered.

116 (Previously Presented) The method of claim 115 further comprising displaying a remaining quantity of a security to be bartered, after a portion of said available amount is bartered.

117 (Previously Presented) The system of claim 103 wherein said processor is configured to display an available quantity of a security to be bartered.

118 (Currently Amended) The system of claim 117 wherein said processor is configured to display a remaining quantity of a security to be bartered, after a portion of said available quantity is bartered.

119 (Currently Amended) A method for facilitating the bartering of publicly traded securities on a computerized system, comprising:

storing on the computerized system a plurality of barter orders,
each including:

a first security including a quantity thereof to be sold in a
barter,

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a second security different from said for security to be
purchased in said barter concurrent with the sale of said first security, and
a condition relating to the value of said barter under which
condition said barter may be executed;
identifying from said plurality of barter orders a first barter order
to be executed;
determining from said plurality of barter orders at least two
additional barter orders which, if executed, will consummate the first barter order and the
at least two additional barter orders; and
initiating a barter including the first barter order and the at least
two additional barter orders.

120 (Previously Presented) The method of claim 119 wherein each of the
plurality of barter orders further includes a time within which said barter may occur.

121 (Previously Presented) The method of claim 119 further comprising
using a matching engine to identify the at least two additional barter orders.

122 (Previously Presented) The method of claim 119 wherein each of the
plurality of barter orders further includes a quantity of the second security.

123 (Previously Presented) The method of claim 119 further comprising
displaying a remaining quantity of a security to be bartered, after a portion of the
available amount is bartered.

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124 (Currently Amended) A system for facilitating the bartering of
publicly traded securities, comprising:

a processor;

a memory connected to the processor storing instructions to control the
operation of the processor and further storing a plurality of barter orders, each including:

a first security including a quantity thereof to be sold in a barter,

a second security different from said first security to be purchased
in said barter concurrent with the sale of said first security, and

a condition relating to the value of said barter under which
condition said barter may be executed;

the processor operative with the instructions in the memory to
perform the steps of:

identifying from said plurality of barter orders a first barter
order to be executed;

determining from said plurality of barter orders at least two
additional barter orders which, if executed, will consummate the first barter order and the
at least two additional barter orders; and

initiating a barter including the first barter order and the at
least two additional barter orders.

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125 (Previously Presented) The system of claim 124 wherein each of the plurality of barter orders further includes a time within which said barter may occur.

126 (Previously Presented) The system of claim 124 further comprising using a matching engine to identify the at least two additional barter orders.

127 (Previously Presented) The system of claim 124 wherein each of the plurality of barter orders further includes a quantity of said second security.

128 (Previously Presented) The system of claim 124 wherein the processor is further configured to display a remaining quantity of a security to be bartered, after a portion of the available amount is bartered.

129 (Currently Amended) A system for facilitating the bartering of publicly traded securities, comprising:

means for storing on the computerized system a plurality of barter orders, each including:

a first security including a quantity thereof to be sold in a barter,

a second security different from said first security to be purchased in said barter concurrent with the sale of said first security, and

a condition relating to the value of said barter under which condition said barter may be executed;

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means for identifying from said plurality of barter orders a first barter order to be executed;

means for determining from said plurality of barter orders at least two additional barter orders which, if executed, will consummate the first barter order and the at least two additional barter orders; and

means for initiating a barter including the first barter order and the at least two additional barter orders.

130 (Previously Presented) The system of claim 129 wherein each of the plurality of barter orders further includes a time within which said barter may occur.

131 (Previously Presented) The system of claim 129 wherein the determining means includes a matching engine to identify the at least two additional barter orders.

132 (Previously Presented) The system of claim 129 wherein each of the plurality of barter orders further includes a quantity of said second security.

133. (Previously Presented) The system of claim 129 further comprising displaying a remaining quantity of a security to be bartered, after a portion of said available amount is bartered.